

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



Applicants: David M. Stern and Shi Du Yan

Serial No.: Not Yet Known

Filed : Herewith

For : TRANSGENIC MICE OVER-EXPRESSING AMYLOID-BETA
ALCOHOL DEHYDROGENASE (ABAD) IN BRAIN AS MODEL OF
ALZHEIMER'S DISEASE AND USES THEREOF

1185 Avenue of the Americas
New York, New York 10036
August 14, 2000


Assistant Commissioner for Patents
Washington, D.C. 20231
Box: Patent Application

SIR:

**EXPRESS MAIL CERTIFICATE OF
MAILING FOR ABOVE-IDENTIFIED APPLICATION**

"Express Mail" mailing label number: EK 166 980 283 US
Date of Deposit: August 14, 2000

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents Box Patent Application, Washington, D.C. 20231.


Printed Name: Derek Barber

Respectfully submitted,



John P. White
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08-15-00.

A/Box SEQ.

ket No. 0575/62429/JPW/JML

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Honorable Assistant Commissioner for Patents
Washington, D.C. 20231
BOX: PATENT APPLICATION
S I R:

August 14, 2000

jc905 U.S. PTO
09/638695
08/14/00

Transmitted herewith for filing are the specification and claims of the patent application of:

David M. Stern and Shi Du Yan for
Inventor(s) TRANSGENIC MICE OVER-EXPRESSING AMYLOID-BETA ALCOHOL DEHYDROGENASE (ABAD)
IN BRAIN AS MODEL OF ALZEHIMER'S DISEASE ADN USES THEREOF.

Title of Invention

Also enclosed are:

- ☒ 13 sheet(s) of ☐ informal ☒ formal drawings.
- ☒ Oath or declaration of Applicant(s). (Unsigned)
- ☒ A power of attorney (Unsigned)
- ☐ An assignment of the invention to
- ☐ A Preliminary Amendment
- ☒ A verified statement to establish small entity status under 37 C.F.R. §1.9 and §1.27. (Unsigned)

The filing fee is calculated as follows:

CLAIMS AS FILED, LESS ANY CLAIMS CANCELLED BY AMENDMENT

	NUMBER FILED		NUMBER EXTRA*		RATE		FEE	
					SMALL ENTITY	OTHER ENTITY	SMALL ENTITY	OTHER ENTITY
Total Claims	-20	=		X	\$ 9.00	\$18.00	= \$ 0	\$
Independent Claims	-3	=		X	\$39.00	\$78.00	= \$ 0	\$
Multiple Dependent Claims Presented: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No					\$130.00	\$260.00	= \$ 0	\$
*If the different in Col. 1 is less than zero, enter "0" in Col. 2					BASIC FEE		\$ 345	\$ 690
					TOTAL FEE		\$ 345	\$

X A check in the amount of \$ 345.00 to cover the filing fee.

 Please charge Deposit Account No. in the amount of \$.

X The Commissioner is hereby authorized to charge any additional fees which may be required in connection with the following or credit any over-payment to Account No. 03-3125:

X Filing fees under 37 C.F.R. \$1.16.

X Patent application processing fees under 37 C.F.R. \$1.17.

 The issue fee set in 37 C.F.R. \$1.18 at or before mailing of the Notice of Allowance, pursuant to 37 C.F.R. \$1.311(b).

X Three copies of this sheet are enclosed.

 A certified copy of previously filed foreign application No. filed in on .

 Applicant(s) hereby claim priority based upon this aforementioned foreign application under 35 U.S.C. §119.

X Other (identify) One extra set of formal drawings and an Express Mail Certificate of Mailing bearing the label number EK 166 980 283 US dated August 14, 2000.

Respectfully submitted,



John P. White
Registration No. 28,678
Jane M. Love
Registration No. 42,812
Attorney for Applicants
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Applicant or Patentee: David M. Stern and Shi Du Yan Attorney's 0575/62429/
Serial or Patent No.: Yet Known Docket No: JPW/JML
Filed or Issued: Herewith
Title of Invention or Patent: TRANSGENIC MICE OVER-EXPRESSING AMYLOID-BETA ALCOHOL
DEHYDROGENASE(ABAD) IN BRAIN AS MODEL OF ALZHEIMER'S
DISEASE AND USES THEREOF

VERIFIED STATEMENT (DECLARATION) CLAIMING
SMALL ENTITY STATUS UNDER 37 C.F.R. §1.9(f)
AND §1.27(d) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization: The Trustees of Columbia University in the City of New York

Address of Organization: Broadway and West 116th Street
New York, New York 10027

TYPE OF ORGANIZATION:

☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE 26 U.S.C. §§501(a) and 501(c)(3)
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA
NAME OF STATE: _____
CITATION OF STATUTE: _____
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE 26 U.S.C. §§501(a) and 501(c)(3) IF LOCATED IN THE UNITED STATES OF AMERICA
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
NAME OF STATE: _____
CITATION OF STATUTE: _____

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. §1.9(e)* for purposes of paying reduced fees under 35 U.S.C. §41(a) and 41(b), with regard to the invention entitled TRANSGENIC MICE OVER-EXPRESSING AMYLOID-BETA ALCOHOL DEHYDROGENASE(ABAD) IN BRAIN AS MODEL OF ALZHEIMER'S DISEASE AND USES THEREOF by inventor(s) David M. Stern and Shi Du Yan

described in:

☒ the specification filed herewith
☐ application serial no. _____ filed _____
☐ patent no. _____ issued _____

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive each individual, concern, or organization known to have rights to the invention is listed below^a and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 C.F.R. §1.9(d)* or a nonprofit organization under 37 C.F.R. 1.9(e)*

^aNOTE: Separate verified statements are required from each person, concern, or organization having rights to the invention averring to their status as small entities. 37 C.F.R. §1.27.

Name: _____
Address: _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

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I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. 37 C.F.R. §1.28(b)*.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. §1001, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: Jack M. Granowitz
Title In Organization: Executive Director, Columbia Innovation Enterprise
Address: Columbia University, Engineering Terrace - Suite 363
West 120th Street and Amsterdam Avenue, New York, New York 10027
Signature: _____
Date Of Signature: _____

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